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**U.S. Department of Justice**

**Federal Bureau of Investigation**  
*Washington, D.C. 20535*

March 30, 2018

MR. RUSS KICK  
POST OFFICE BOX 36914  
TUCSON, AZ 85740

FOIPA Request No.: 1400366-000  
Subject: Renaissance Technologies LLC  
(1982-Present)

Dear Mr. Kick:

Records responsive to your request were previously processed under the provisions of the Freedom of Information Act. Enclosed are 54 pages of previously-processed documents and a copy of the Explanation of Exemptions. This release is being provided to you at no charge.

Please be advised that additional records potentially responsive to your subject may exist. If this release of previously processed material does not satisfy your information needs for the requested subject, you may request an additional search for records. Submit your request by mail or fax to – Work Process Unit, 170 Marcel Drive, Winchester, VA 22602, fax number (540) 868-4997. Please cite the FOIPA Request Number in your correspondence.

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. See 5 U.S. C. § 552(c) (2006 & Supp. IV (2010)). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

For questions regarding our determinations, visit the [www.fbi.gov/foia](http://www.fbi.gov/foia) website under "Contact Us." The FOIPA Request number listed above has been assigned to your request. Please use this number in all correspondence concerning your request. Your patience is appreciated.

You may file an appeal by writing to the Director, Office of Information Policy (OIP), United States Department of Justice, Suite 11050, 1425 New York Avenue, NW, Washington, D.C. 20530-0001, or you may submit an appeal through OIP's FOIAonline portal by creating an account on the following web site: <https://foiaonline.regulations.gov/foia/action/public/home>. Your appeal must be postmarked or electronically transmitted within ninety (90) days from the date of this letter in order to be considered timely. If you submit your appeal by mail, both the letter and the envelope should be clearly marked "Freedom of Information Act Appeal." Please cite the FOIPA Request Number assigned to your request so that it may be easily identified.

You may seek dispute resolution services by contacting the Office of Government Information Services (OGIS) at 877-684-6448, or by emailing [ogis@nara.gov](mailto:ogis@nara.gov). Alternatively, you may contact the FBI's FOIA Public Liaison by emailing [foipaquestions@fbi.gov](mailto:foipaquestions@fbi.gov). If you submit your dispute resolution correspondence by email, the subject heading should clearly state "Dispute Resolution Services." Please also cite the FOIPA Request Number assigned to your request so that it may be easily identified.

Sincerely yours,

A handwritten signature in black ink, appearing to read "D. Hardy", with a stylized flourish at the end.

David M. Hardy  
Section Chief,  
Record/Information  
Dissemination Section  
Records Management Division

Enclosure(s)

## **EXPLANATION OF EXEMPTIONS**

### **SUBSECTIONS OF TITLE 5, UNITED STATES CODE, SECTION 552**

- (b)(1) (A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) are in fact properly classified to such Executive order;
- (b)(2) related solely to the internal personnel rules and practices of an agency;
- (b)(3) specifically exempted from disclosure by statute (other than section 552b of this title), provided that such statute (A) requires that the matters be withheld from the public in such a manner as to leave no discretion on issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld;
- (b)(4) trade secrets and commercial or financial information obtained from a person and privileged or confidential;
- (b)(5) inter-agency or intra-agency memorandums or letters which would not be available by law to a party other than an agency in litigation with the agency;
- (b)(6) personnel and medical files and similar files the disclosure of which would constitute a clearly unwarranted invasion of personal privacy;
- (b)(7) records or information compiled for law enforcement purposes, but only to the extent that the production of such law enforcement records or information ( A ) could reasonably be expected to interfere with enforcement proceedings, ( B ) would deprive a person of a right to a fair trial or an impartial adjudication, ( C ) could reasonably be expected to constitute an unwarranted invasion of personal privacy, ( D ) could reasonably be expected to disclose the identity of confidential source, including a State, local, or foreign agency or authority or any private institution which furnished information on a confidential basis, and, in the case of record or information compiled by a criminal law enforcement authority in the course of a criminal investigation, or by an agency conducting a lawful national security intelligence investigation, information furnished by a confidential source, ( E ) would disclose techniques and procedures for law enforcement investigations or prosecutions, or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law, or ( F ) could reasonably be expected to endanger the life or physical safety of any individual;
- (b)(8) contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions; or
- (b)(9) geological and geophysical information and data, including maps, concerning wells.

### **SUBSECTIONS OF TITLE 5, UNITED STATES CODE, SECTION 552a**

- (d)(5) information compiled in reasonable anticipation of a civil action proceeding;
- (j)(2) material reporting investigative efforts pertaining to the enforcement of criminal law including efforts to prevent, control, or reduce crime or apprehend criminals;
- (k)(1) information which is currently and properly classified pursuant to an Executive order in the interest of the national defense or foreign policy, for example, information involving intelligence sources or methods;
- (k)(2) investigatory material compiled for law enforcement purposes, other than criminal, which did not result in loss of a right, benefit or privilege under Federal programs, or which would identify a source who furnished information pursuant to a promise that his/her identity would be held in confidence;
- (k)(3) material maintained in connection with providing protective services to the President of the United States or any other individual pursuant to the authority of Title 18, United States Code, Section 3056;
- (k)(4) required by statute to be maintained and used solely as statistical records;
- (k)(5) investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment or for access to classified information, the disclosure of which would reveal the identity of the person who furnished information pursuant to a promise that his/her identity would be held in confidence;
- (k)(6) testing or examination material used to determine individual qualifications for appointment or promotion in Federal Government service the release of which would compromise the testing or examination process;
- (k)(7) material used to determine potential for promotion in the armed services, the disclosure of which would reveal the identity of the person who furnished the material pursuant to a promise that his/her identity would be held in confidence.

UNCLASSIFIED

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 03/20/2009

To: New York

From: New York

BQMRA/Squad C-35

Contact: SA [redacted] ext. 7478

b6  
b7C

Approved By: [redacted]

Drafted By: [redacted]

Case ID #: 31 (Pending)

Title: RENAISSANCE TECHNOLOGIES

Synopsis: Pred. ation to open and assign case.

Administrative: It is requested that captioned matter be opened and assigned to SA [redacted] On 03/20/2009, a query of RENAISSANCE TECHNOLOGIES in ACS UNI revealed numerous identifiable records, none of which preclude this case opening.

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Details: Captioned matter is a referral from the United States Attorney's Office for the Eastern District of New York where AUSA [redacted] is the point of contact.

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RENAISSANCE TECHNOLOGIES LLC, a \$20 billion hedge fund management firm based in East Setauket, NY, operates at least two funds. One fund, where investment participation is limited to firm insiders, allegedly returned approximately 35% in a recent annual period. The other fund, which is for a wider non-insider client base, exhibited a negative return for the same period. It has been alleged that RENAISSANCE TECHNOLOGIES personnel fraudulently allocated profitable trades to the insiders' fund at the expense of the non-insiders' fund, otherwise known as a "cherry-picking scheme."

The purpose of the investigation shall be to determine the identities of those who engaged in questionable conduct, if there exists any evidence of criminal misconduct, and if so, to determine if prosecution is warranted.

UNCLASSIFIED

318B-NY-302064-1

SEARCHED	INDEXED
SERIALIZED	FILED
MAR 20 2009	
FBI NEW YORK	

[redacted]

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318B-NY

OPEN (OR REOPEN) CASE: [redacted]

SOURCE: [redacted]

DATE: 03/20/09

SUP: [redacted]

PI EFFECTIVE: [redacted]

ASSIG: [redacted]

Open 318b.wpa

**FEDERAL BUREAU OF INVESTIGATION**

Precedence: ROUTINE

Date: 1/21/2011

To: New York

From: New York

C-35

Contact: SA [redacted] Ext. . 7478

Approved By: [redacted]

Drafted By: [redacted]

:mtr MR

Case ID #: 318B-NY-302064 (Pending)

Title: RENAISSANCE TECHNOLOGIES

Synopsis: To close the above captioned matter.

Details: Pursuant to conversation with AUSA [redacted] of the Eastern District of New York the conduct investigated related to Renaissance Technologies doesn't rise to the level of criminal conduct. Therefore, it is requested that the above mentioned case be closed.

♦♦

1/25/11  
Close  
4 (04) (6)

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318B-NY-302064-2

Rentech class

FEDERAL BUREAU OF INVESTIGATION  
FOI/PA  
DELETED PAGE INFORMATION SHEET  
FOI/PA# 1353194-0

Total Deleted Page(s) = 19

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Law Offices of [REDACTED]  
[REDACTED]

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[REDACTED]  
Telephone: [REDACTED]

Facsimile: (617) 332-5593

Of Counsel:  
[REDACTED]

## MEMORANDUM

To: [REDACTED]-FBI

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From: [REDACTED]

Re: [REDACTED] *Renaissance Technologies*

Date: May 14, 1999

Enclosed are copies of documents from my file which may assist you in your investigation, including a copy of a Complaint and Affidavit (which I assume was filed by New York counsel for Ariya International [REDACTED] As I told you by phone, I have no originals in my file.

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Good luck!

[REDACTED]

Gen/Memo to FBI [REDACTED]

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Universal Case File Number 196A-BF-33164Field Office Acquiring Evidence BS

Serial # of Originating Document \_\_\_\_\_

Date Received 4/12/99

From \_\_\_\_\_

(Address of Contributor)

(City and State)

By SA \_\_\_\_\_To Be Returned ☐ Yes ☒ NoReceipt Given ☐ Yes ☒ No

Grand Jury Material - Disseminate Only Pursuant to Rule 6 (e)

Federal Rules of Criminal Procedure

☐ Yes ☒ NoTitle: \_\_\_\_\_  
RENAISSANCE TECHNOLOGIES,  
ARIYA INTL - VICTIM  
FBWReference: \_\_\_\_\_  
(Communication Enclosing Material)Description: ☒ Original notes re interview of(2) Copy of complaint filed with State of New York  
ARIYA v. \_\_\_\_\_(3) FAXED CORRESPONDANCE, RENAISSANCE TO  
ATTORNEY \_\_\_\_\_

x225

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b7Cb6  
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STATE OF NEW YORK  
SUPREME COURT

COUNTY OF MONROE

97-4666

ARIYA INTERNATIONAL, INC.,

Plaintiff,

VERIFIED COMPLAINT

-VS-

Index #

[REDACTED] [REDACTED]  
[REDACTED] RENAISSANCE TECHNOLOGIES,  
Defendants.

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Plaintiff, by its attorneys, Lacy, Katzen, Ryen & Mittleman, LLP, complaining of the Defendants, alleges as follows:

1. Plaintiff is a corporation organized and existing under the laws of the Commonwealth of Massachusetts, with offices at 100 Park Avenue, Newton, Massachusetts.

2. Upon information and belief, Defendant, [REDACTED]

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[REDACTED] resides at or has a place of business at [REDACTED]

[REDACTED]

3. Upon information and belief, Defendant, [REDACTED]

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[REDACTED] does business under the name and style of RENAISSANCE TECHNOLOGIES, [REDACTED]

[REDACTED]

4. Prior to March 10, 1997, Plaintiff and Defendants entered into negotiations for the sale by Defendants to Plaintiff for its customer, International Telecommunication Services ("ITS"), of prepaid phone cards (hereinafter referred to as "Cards").

5. Defendants represented to Plaintiff that they could provide said cards at a per unit price of \$0.130. Defendants represented in a Letter of Intent to Plaintiff that Defendants' client (i.e., the actual supplier of the Cards) was "financially

and logistically able to perform all parts of the Agreement." A copy of Defendants' Letter of Intent is annexed as Exhibit "A".

6. Subsequent thereto and on or about March 21, 1997, Defendants invoiced Plaintiff for said phone cards for the total amount of \$35,360.00. A copy of the invoice is annexed as Exhibit "B".

7. On or about March 24, 1997 the sum of \$35,360.00 was wired by Plaintiff to Defendants. A copy of the Wire Transfer Instructions from Defendants and Plaintiff's Wire Transfer Request Form is respectively annexed as Exhibits "C" and "D".

8. That Defendants have failed to provide any of the cards purchased by Plaintiff and upon information and belief, did not have at the time the Agreement was made the ability to perform all or any part of the Agreement.

9. Upon information and belief, Defendants had wired \$15,000.00 of the total sum of \$35,360.00 to a company known as Telegroup, Inc. in order to purchase the Cards.

10. Upon information and belief, Telegroup, Inc. did not have an agreement with Defendants to provide the cards at the per unit price of \$0.130.

11. Telegroup, Inc., on or about April 18, 1997 returned \$15,000.00 to Plaintiff.

12. That Defendants breached their Agreement with Plaintiff damaging Plaintiff in the sum of \$20,360.00.

13. That although duly demanded, no part of the sum of \$20,360.00 has been paid and there is due and owing from Defendants to Plaintiff the sum of \$20,360.00 together with interest from March 24, 1997.

AS AND FOR A SECOND CAUSE OF ACTION, PLAINTIFF ALLEGES:

14. Plaintiff repeats and realleges the allegations set forth in Paragraphs "1" through "13" as if set forth fully herein.

15. Defendants fraudulently represented to Plaintiff that they were able to provide the cards at a per unit price of \$0.130 when, in fact, they knew that they had no such ability.

16. Defendants defrauded Plaintiff of the sum of \$20,360.00 and caused Plaintiff damages in said amount.

**AS AND FOR A THIRD CAUSE OF ACTION, PLAINTIFF ALLEGES:**

17. Plaintiff repeats and realleges the allegations set forth in Paragraphs "1" through "16" as if set forth fully herein.

18. Upon information and belief, Defendants converted to their own use of the sum of \$20,360.00.

19. Defendants owe to Plaintiff, by reason thereof, the sum of \$20,360.00 together with interest from March 24, 1997.

**WHEREFORE, Plaintiff demands Judgment against Defendants:**

- A) On the First Cause of Action for the sum of \$20,360.00 plus interest from March 24, 1997;
- B) On the Second Cause of Action for the sum of \$20,360.00, plus interest from March 24, 1997; and
- C) On the Third Cause of Action for the sum of \$20,360.00 plus interest from March 24, 1997,

together with attorneys' fees, the costs and disbursements of this action and such other and further relief as to the Court seems just and proper.

DATED: May 6, 1997

Yours, etc.,

**LACY, KATZEN, RYEN & MITTLEMAN, LLP**  
[Redacted] Esq.

Attorneys for Plaintiff  
130 East Main Street  
Rochester, New York 14604-1686  
Telephone: (716) 454-5650

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V E R I F I C A T I O N

COMMONWEALTH OF MASSACHUSETTS)  
COUNTY OF MIDDLESEX ) SS.:

I, [ ] being duly sworn, deposes and say:

[ ] of ARIYA INTERNATIONAL, INC.,  
the Plaintiff in the within action; that the deponent has read the  
foregoing Complaint and knows the contents thereof; and the same is  
true to my own knowledge, except as to the matters therein stated  
to be alleged upon information and belief, and as to those matters  
I believe to be true. This Verification is made by me because the  
above party is a Corporation. The grounds of my belief as to all  
matters not stated upon my own knowledge are as follows:

Plaintiff's books and records.

Sworn to before me this  
\_\_\_\_\_ day of May, 1997.

\_\_\_\_\_  
Notary Public

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MAY 06 97 05:11PM LHCY, KATZEN P.7/11  
STATE OF NEW YORK  
SUPREME COURT

COUNTY OF MONROE

ARIYA INTERNATIONAL, INC.,

Plaintiff,

AFFIDAVIT

-vs-

Index #

RENAISSANCE TECHNOLOGIES,

Defendants.

COMMONWEALTH OF MASSACHUSETTS)  
COUNTY OF MIDDLESEX ) ss.:

[redacted] being duly sworn, deposes and says:

1. [redacted] of Ariya International, Inc. ("Ariya"), and I have personal knowledge of the facts set forth in this Affidavit.

2. Attached hereto as Exhibit 1, is a copy of the Summons and Verified Complaint, the original of which is being filed simultaneously with the making of this application.

3. As can be seen by the Verified Complaint and as more fully set forth herein, the Plaintiff is entitled to an Ex Parte Order for an Attachment, together with a Temporary Restraining Order all as provided in the proposed Order submitted herewith.

4. Ariya provides computer, electronics, and software consulting, as well as telecommunications, voice and data services, on an international basis.

5. Among other services provided by Ariya, Ariya acts as a reseller of prepaid telephone calling cards (sometimes referred to hereinafter as "Cards") from US telecommunications companies such

as MCI and LDDS Worldwide to Ariya's major Japanese customer, International Telecommunication Services ("ITS").

6. I was referred to a company by the name of Renaissance Technologies, which, through its [REDACTED] [REDACTED], both verbally and in writing, held itself out to be capable of filling the order from ITS through its connections with Telegroup, Inc. ("Telegroup").

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7. On or about March 10, 1997, I received a Letter of Intent from [REDACTED] with respect to an anticipated ITS order, a true copy of which Letter of Intent is annexed to the Complaint as Exhibit "A". In pertinent part, that Letter of Intent provides as follows: "Renaissance Technologies confirms that our client [i.e., Telegroup] is, financially and logistically, able to perform all parts of the Agreement..."

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8. On or about March 21, 1997, I received an order from ITS for a substantial number of Cards, and began a search for Cards at the lowest available price to fill this order.

9. [REDACTED] advised that he could obtain the Cards I sought at a per-unit price of \$0.130, and, based upon this representation, as well as the information contained in the Letter of Intent, I placed the ITS order for 2800 Cards with [REDACTED]

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10. On or about March 21, 1997, I received an Invoice for the Cards in the total amount of \$35,360.00, which sum I wired to [REDACTED] as per instructions previously received; annexed to the Complaint as Exhibit "B" is a true copy of the said Invoice; and annexed as Exhibits "C" and "D", respectively, the Wire Transfer Instructions, and the Wire Transfer Request as approved by my bank.

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11. Although [ ] received the wire transfer in full, the Cards were not delivered as agreed.

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12. When I contacted [ ] to complain about his failure to deliver the Cards, he stated that he had wired only \$15,000.00 to Telegroup (instead of the full \$35,360.00 as agreed); that Telegroup could not "fill the order," but that he would find another supplier on substantially similar terms.

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13. On information and belief, [ ] had no intention of wiring the agreed amount of money to Telegroup, or of delivering the Cards at the agreed-upon price and quantity, and in fact, did not have the capability, "financially or logistically," to provide the Cards at any time relevant hereto. This belief is based upon my subsequent telephone conversations with representatives of Telegroup, who stated unequivocally that they were never under contract with [ ] that they never made any cards available to him at a price of \$0.130/unit, and that [ ] had apparently been lying to both Telegroup and to me all along in an effort to coerce an order and thereby obtain money.

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14. [ ] subsequently advised me that he had worked out a deal with Global Telecom Networks ("GTN") to provide the Cards at a price of \$0.150/unit, and on or about April 29, 1997, \$15,000.00 of the money I had wired to [ ] (which had been returned to me by Telegroup) plus \$442.00 from Ariya was wired to GTN, filling a portion of the ITS order.

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15. The monies that were wired to Defendants were for the sole purpose of purchasing Cards for the benefit of Plaintiff. By failing to purchase the Cards and by failing to return the money to

the Plaintiff, Defendants have clearly disposed of property sufficient to satisfy a Judgment.

16. From and after April 29, 1997, both my local attorney and I contacted, or attempted to contact, [ ] on numerous occasions, both verbally and in writing, in an effort to obtain the \$20,360.00 balance of the money I had wired to [ ] Annexed hereto as Exhibits 2, 3, 4 and 5 respectively, are true copies of memoranda faxed by my attorney to [ ] as well as the one and only facsimile response received from [ ]

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17. I have contacted [ ] Credit Union with the information provided to me for the purpose of wire transfer, and have been advised that presently there are insufficient funds in [ ] account to reimburse the balance owed.

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18. On information and belief, [ ] converted the money I had wired him to his own use and has defrauded Plaintiff of the sum of \$20,360.00.

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19. If [ ] were notified in advance of a hearing on a motion for attachment, he would remove any remaining funds from his bank; and I am aware of no other assets or insurance proceeds available to satisfy Plaintiff's claim and anticipated Judgment in this matter.

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20. As can be seen by the Verified Complaint and this Affidavit, it is probable that the Plaintiff will succeed on the merits.

21. The facts set forth clearly show that the Defendants, with intent to defraud their creditors or frustrate the enforcement of a Judgment that might be rendered in Plaintiff's favor has

assigned, disposed of, encumbered or secreted property.

22. The amount demanded exceeds all counterclaims known to Plaintiff.

23. No previous application has been made for the relief requested herein.

WHEREFORE, I respectfully request that the Court grant the annexed Order of Attachment, together with a temporary restraining order and for such other and further relief as may be just and proper.

Sworn to before me this  
\_\_\_\_\_ day of May, 1997.

\_\_\_\_\_  
Notary Public

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04-30-1997 08:24AM

LAW OFFICES  
Naples Legend Pharmacy

714 P02 AFR 30 '97 10:35  
716 374 6503 P.01

To:

From:

Sent in Fine mode  
since its very hard to  
read!

## FAX COVER SHEET

RENAISSANCE TECHNOLOGIES

USA  
PHONE: 716-271-5348 / 1-888-294-7847  
FAX: 716-271-3548 / 1-800-758-3548

SEND TO ANY FOUR	
Company name/ Firmennamen/ Sociétés	
City OFFICES	
Attention de	Date/ Datum/ Date
	4/30/97
Fax number/ Fax Nr./ N° de fax	Phone number/ Telefon N° de tel.
(67) 969-3104	888-294-7847

<input type="checkbox"/> Urgent/ Dringend/ Urgent	<input type="checkbox"/> Reply ASAP/ Rückantwort/ Réponse urgente Attendez	<input type="checkbox"/> Please confirm/ Erfolgung/ Commentaires attendus	<input type="checkbox"/> Please review/ Überprüfung/ A vérifier	<input checked="" type="checkbox"/> For your information/ Kenntmachungen/ Copie pour information
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Total pages, including cover sheet:  
Anzahl der übermittelten Seiten inkl. Deckblatt  
Nombre de pages (Page de garde incluse)

COMMENTS/ ANMERKUNGEN/ COMMENTAIRES

Since the IRS/ARIVA has now come down to  
threats to myself & my girlfriend as late as Monday  
yesterday. And it appears this relationship will not be  
going further. I plan to meet w/ my attorney today  
4/30/97. To discuss my options of compensation.  
I've worked very hard at finding a provider  
for Ariva/ITS. Haves a phone calls, negotiations,  
broadcast sales etc. I located GTP for  
Ariva/ITS as the agent & Ariva decided to remove  
my company out of the loop & complete negotiations.  
GTP w/o myself which may or may not be illegal  
but is certainly unethical. My attorney is in  
Buffalo, NY which is about 1 1/2 hours from  
where I live. I'm traveling there today & I  
will either have him contact you or I will myself  
whichever he advises TODAY. My Banker Jackueband  
has wife transfer paperwork on his desk. She's waiting for  
an amount for my ~~self~~ thank you  
P.S. My FAX # ~~is~~ compensation  
is 1-800-558-3548

LAW OFFICES of

Of Counsel:

Telephone: [REDACTED]  
Facsimile: (617) 969-2104b6  
b7CFACSIMILE TRANSMITTAL INFORMATION

Date:

4/30/97

To: Fax No.:

1-800-758-3548

Name of Recipient:

Firm or Office:

Renaissance Technologies

From:

Description of Document(s):

Re: Ariya Int'l

**CONFIDENTIAL****URGENT**b6  
b7Cb6  
b7CTHIS TRANSMISSION CONSISTS OF 1 PAGE~~S~~, ~~INCLUDING~~ THIS COVER SHEET.Original to follow by: ☐ Mail ☐ Overnight Delivery ☐ Courier ☒ N/A

If you do not receive all pages, or have any problem with this transmission, please call [REDACTED] at [REDACTED] Our fax number is (617) 969-2104.

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Message to Recipient:

[REDACTED] is willing to allow you to reduce the wire transfer amount by \$1193<sup>40</sup>, which was the agreed-upon compensation from GTN. However, the balance must be wire-transferred immediately. Please advise as to your intentions. If this cannot be accomplished this morning, I must speak with your attorney immediately.

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\*\*\*\*\*CONFIDENTIALITY NOTICE\*\*\*\*\*

The documents accompanying this facsimile transmission contain information from the Law Offices of Philip S. Levoff which is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution or use of the contents of this FAX information is prohibited. If you have received this fax in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original document at no cost to you. We sincerely appreciate your understanding and cooperation.

LAW OFFICES of

Of Counsel:

Telephone

Facsimile: (617) 969-2104

b6  
b7CFACSIMILE TRANSMITTAL INFORMATION

Date:

4/29/97

To: Fax No.:

1-716-374-6903; 1-716-396-9004

Name of Recipient:

Firm or Office:

Renaissance Technologies

From:

Description of Document(s):

Re: Ariya Int'l, Inc. /

~~CONFIDENTIAL~~**URGENT**b6  
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b7CTHIS TRANSMISSION CONSISTS OF 1 PAGE~~S~~, ~~INCLUDING~~ THIS COVER SHEET.Original to follow by: ☐ Mail ☐ Overnight Delivery ☐ Courier ☒ N/AIf you do not receive all pages, or have any problem with this transmission, please call ☐ at ☐ Our fax number is (617) 969-2104.b6  
b7C

Message to Recipient:

I represent ☐ / Ariya. I must hear from you no later than 10:00 AM tomorrow, 4/30/97. If this matter is not resolved satisfactorily, I will take immediate and decisive action against you, which may be irreversible. Do not ignore this urgent message, or misread our resolve.

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\*\*\*\*\*CONFIDENTIALITY NOTICE\*\*\*\*\*

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- 1A2

Universal Case File Number 196ABF 33164

Field Office Acquiring Evidence \_\_\_\_\_

Serial # of Originating Document \_\_\_\_\_

Date Received \_\_\_\_\_

From \_\_\_\_\_

(Name of Contributor)

(Address of Contributor)

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To Be Returned ☐ Yes ☒ NoReceipt Given ☐ Yes ☒ No

Grand Jury Material - Disseminate Only Pursuant to Rule 6 (e)

Federal Rules of Criminal Procedure

☐ Yes ☒ No

Title:

Reference: \_\_\_\_\_

(Communication Enclosing Material)

Description: ☒ Original notes re interview ofGates PD mug shot &  
arrest reportb6  
b7C



# UNITED STATES POSTAL SERVICE

WESTGATE BRANCH

1485 HOWARD ROAD

ROCHESTER, NY 14624-9998



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8/20/93

Universal Case File Number 196ABF 33164

Field Office Acquiring Evidence -1A3

Serial # of Originating Document \_\_\_\_\_

Date Received \_\_\_\_\_

From \_\_\_\_\_  
(Name of Contributor)

\_\_\_\_\_  
(Address of Contributor)

[Redacted Box]

To Be Returned ☐ Yes ☒ No

Receipt Given ☐ Yes ☒ No

Grand Jury Material - Disseminate Only Pursuant to Rule 6 (e)

Federal Rules of Criminal Procedure

☐ Yes ☒ No

Title:

Reference: \_\_\_\_\_  
(Communication Enclosing Material)

Description: ☐ Original notes to interview of

Correspondence between  
Subject & victim

expres

X

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Lacy, Katzen, Ryen & Mittleman, LLP

ATTORNEYS AT LAW  
THE GRANITE BUILDING  
130 EAST MAIN STREET  
ROCHESTER, NEW YORK 14604-1686

(716) 454-5650  
FACSIMILE (716) 454-6525

HERBERT W. LACY  
(1920 - 1989)

May 5, 1999

ALSO ADMITTED IN:  
• ILLINOIS  
+ NEW JERSEY  
• PENNSYLVANIA

[REDACTED]  
Ariya International, Inc.  
100 Park Avenue  
Newton, MA 02158

RE: [REDACTED]

Dear [REDACTED]

Unfortunately, I have been unsuccessful in locating our file. However, I did obtain copies of the Pleadings that we used in court and I am enclosing a copy of the Summons, Affidavit and Complaint that were filed with the court. After reviewing this with the FBI please advise me if there is any other information which I may be able to obtain from the court documents. Again, I apologize for not being able to find the file but I believe that all of the information that was relevant to the proceeding is contained in the Complaint and the Affidavit.

Very truly yours,

Lacy, Katzen, Ryen & Mittleman, LLP

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Enc.

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STATE OF NEW YORK  
SUPREME COURT

COUNTY OF MONROE

ARIYA INTERNATIONAL, INC.,

Plaintiff,

AFFIDAVIT

-vs-

Index # 97/46666

RENAISSANCE TECHNOLOGIES,

Defendants.

COMMONWEALTH OF MASSACHUSETTS)  
COUNTY OF MIDDLESEX ) ss.:

[redacted] being duly sworn, deposes and says:

1. [redacted] of Ariya International, Inc. ("Ariya"), and I have personal knowledge of the facts set forth in this Affidavit.

2. Attached hereto as Exhibit 1, is a copy of the Summons and Verified Complaint, the original of which is being filed simultaneously with the making of this application.

3. As can be seen by the Verified Complaint and as more fully set forth herein, the Plaintiff is entitled to an Ex Parte Order for an Attachment, together with a Temporary Restraining Order all as provided in the proposed Order submitted herewith.

4. Ariya provides computer, electronics, and software consulting, as well as telecommunications, voice and data services, on an international basis.

5. Among other services provided by Ariya, Ariya acts as a reseller of prepaid telephone calling cards (sometimes referred to hereinafter as "Cards") from US telecommunications companies such

as MCI and LDDS Worldwide to Ariya's major Japanese customer, International Telecommunication Services ("ITS").

6. I was referred to a company by the name of Renaissance Technologies, which, through [REDACTED] [REDACTED] [REDACTED], both verbally and in writing, held itself out to be capable of filling the order from ITS through its connections with Telegroup, Inc. ("Telegroup").

7. On or about March 10, 1997, I received a Letter of Intent from [REDACTED] with respect to an anticipated ITS order, a true copy of which Letter of Intent is annexed to the Complaint as Exhibit "A". In pertinent part, that Letter of Intent provides as follows: "Renaissance Technologies confirms that our client [i.e., Telegroup] is, financially and logistically, able to perform all parts of the Agreement..."

8. On or about March 21, 1997, I received an order from ITS for a substantial number of Cards, and began a search for Cards at the lowest available price to fill this order.

9. [REDACTED] advised that he could obtain the Cards I sought at a per unit price of \$0.130, and, based upon this representation, as well as the information contained in the Letter of Intent, I placed the ITS order for 2800 Cards with [REDACTED]

10. On or about March 21, 1997, I received an Invoice for the Cards in the total amount of \$35,360.00, which sum I wired to [REDACTED] as per instructions previously received; annexed to the Complaint as Exhibit "B" is a true copy of the said Invoice; and annexed as Exhibits "C" and "D", respectively, the Wire Transfer Instructions, and the Wire Transfer Request as approved by my bank.

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11. Although [ ] received the wire transfer in full, the Cards were not delivered as agreed.

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12. When I contacted [ ] to complain about his failure to deliver the Cards, he stated that he had wired only \$15,000.00 to Telegroup (instead of the full \$35,360.00 as agreed); that Telegroup could not "fill the order," but that he would find another supplier on substantially similar terms.

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13. On information and belief, [ ] had no intention of wiring the agreed amount of money to Telegroup, or of delivering the Cards at the agreed-upon price and quantity, and in fact, did not have the capability, "financially or logistically," to provide the Cards at any time relevant hereto. This belief is based upon my subsequent telephone conversations with representatives of Telegroup, who stated unequivocally that they were never under contract with [ ] that they never made any cards available to him at a price of \$0.130/unit, and that [ ] had apparently been lying to both Telegroup and to me all along in an effort to coerce an order and thereby obtain money.

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14. [ ] subsequently advised me that he had worked out a deal with Global Telecom Networks ("GTN") to provide the Cards at a price of \$0.150/unit, and on or about April 29, 1997, \$15,000.00 of the money I had wired to [ ] (which had been returned to me by Telegroup) plus \$442.00 from Ariya was wired to GTN, filling a portion of the ITS order.

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15. The monies that were wired to Defendants were for the sole purpose of purchasing Cards for the benefit of Plaintiff. By failing to purchase the Cards and by failing to return the money to

P.10/11

the Plaintiff, Defendants have clearly disposed of property sufficient to satisfy a Judgment.

16. From and after April 29, 1997, both my local attorney and I contacted, or attempted to contact, [ ] on numerous occasions, both verbally and in writing, in an effort to obtain the \$20,360.00 balance of the money I had wired to [ ] Annexed hereto as Exhibits 2, 3, 4 and 5 respectively, are true copies of memoranda faxed by my attorney to [ ] as well as the one and only facsimile response received from [ ]

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17. I have contacted [ ] Credit Union with the information provided to me for the purpose of wire transfer, and have been advised that presently there are insufficient funds in [ ] account to reimburse the balance owed.

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18. On information and belief, [ ] converted the money I had wired him to his own use and has defrauded Plaintiff of the sum of \$20,360.00.

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19. If [ ] were notified in advance of a hearing on a motion for attachment, he would remove any remaining funds from his bank; and I am aware of no other assets or insurance proceeds available to satisfy Plaintiff's claim and anticipated Judgment in this matter.

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20. As can be seen by the Verified Complaint and this Affidavit, it is probable that the Plaintiff will succeed on the merits.

21. The facts set forth clearly show that the Defendants, with intent to defraud their creditors or frustrate the enforcement of a Judgment that might be rendered in Plaintiff's favor has

assigned, disposed of, encumbered or secreted property.

22. The amount demanded exceeds all counterclaims known to Plaintiff.


23. No previous application has been made for the relief requested herein.

WHEREFORE, I respectfully request that the Court grant the annexed Order of Attachment, together with a temporary restraining order and for such other and further relief as may be just and proper.



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Sworn to before me this  
6th day of May, 1997.

  
Notary Public

PHILIP S. LEVOFF, Notary Public  
My Commission Expires Sept. 21, 2001



STATE OF NEW YORK  
SUPREME COURT COUNTY OF MONROE

Index No. 97/4666.

ARIYA INTERNATIONAL, INC.,

Plaintiff designates MONROE  
County as the place of trial

Plaintiff,

- VS -

**SUMMONS**

The basis of the venue is  
Defendant's place of business.

RENAISSANCE TECHNOLOGIES

Plaintiff resides at  
100 Park Avenue  
Newton, MS 02158  
County of Middlesex

Defendants.

To the Above-Named Defendants

YOU ARE HEREBY SUMMONED to answer the complaint in this action and to serve a copy of your answer, or, if the complaint is not served with this summons, to serve a notice of appearance, on the Plaintiff's attorney(s) within twenty (20) days after the service of this summons, exclusive of the day of service (or within 30 days after the service is complete if this summons is not personally delivered to you within the State of New York); and in case of your failure to appear or answer, judgment will be taken against you by default for the relief demanded in the complaint.

DATED: May 6, 1997

LACY, KATZEN, BYEN & MITTLEMAN, LLP  
Esq.

Attorneys for Plaintiff  
130 East Main Street  
Rochester, New York 14604  
Tel. (716) 454-5650

NOTED & FILED

CLERK OF COURT

(228365)

STATE OF NEW YORK  
SUPREME COURT

COUNTY OF MONROE

ARIYA INTERNATIONAL, INC.,

Plaintiff,

VERIFIED COMPLAINT

-VS-

Index #

RENAISSANCE TECHNOLOGIES,

Defendants.

Plaintiff, by its attorneys, Lacy, Katzen, Ryen & Mittleman, LLP, complaining of the Defendants, alleges as follows:

1. Plaintiff is a corporation organized and existing under the laws of the Commonwealth of Massachusetts, with offices at 100 Park Avenue, Newton, Massachusetts.

2. Upon information and belief, Defendant, [REDACTED]

[REDACTED] resides at or has a place of business at [REDACTED]

3. Upon information and belief, Defendant, [REDACTED]

[REDACTED] does business under the name and style of RENAISSANCE TECHNOLOGIES, with offices at [REDACTED]

4. Prior to March 10, 1997, Plaintiff and Defendants entered into negotiations for the sale by Defendants to Plaintiff for its customer, International Telecommunication Services ("ITS"), of prepaid phone cards (hereinafter referred to as "Cards").

5. Defendants represented to Plaintiff that they could provide said cards at a per unit price of \$0.130. Defendants represented in a Letter of Intent to Plaintiff that Defendants' client (i.e., the actual supplier of the Cards) was "financially

and logistically able to perform all parts of the Agreement." A copy of Defendants' Letter of Intent is annexed as Exhibit "A".

6. Subsequent thereto and on or about March 21, 1997, Defendants invoiced Plaintiff for said phone cards for the total amount of \$35,360.00. A copy of the invoice is annexed as Exhibit "B".

7. On or about March 24, 1997 the sum of \$35,360.00 was wired by Plaintiff to Defendants. A copy of the Wire Transfer Instructions from Defendants and Plaintiff's Wire Transfer Request Form is respectively annexed as Exhibits "C" and "D".

8. That Defendants have failed to provide any of the cards purchased by Plaintiff and upon information and belief, did not have at the time the Agreement was made the ability to perform all or any part of the Agreement.

9. Upon information and belief, Defendants had wired \$15,000.00 of the total sum of \$35,360.00 to a company known as Telegroup, Inc. in order to purchase the Cards.

10. Upon information and belief, Telegroup, Inc. did not have an agreement with Defendants to provide the cards at the per unit price of \$0.130.

11. Telegroup, Inc., on or about April 18, 1997 returned \$15,000.00 to Plaintiff.

12. That Defendants breached their Agreement with Plaintiff damaging Plaintiff in the sum of \$20,360.00.

13. That although duly demanded, no part of the sum of \$20,360.00 has been paid and there is due and owing from Defendants to Plaintiff the sum of \$20,360.00 together with interest from March 24, 1997.

AS AND FOR A SECOND CAUSE OF ACTION, PLAINTIFF ALLEGES:

14. Plaintiff repeats and realleges the allegations set forth in Paragraphs "1" through "13" as if set forth fully herein.

15. Defendants fraudulently represented to Plaintiff that they were able to provide the cards at a per unit price of \$0.130 when, in fact, they knew that they had no such ability.

16. Defendants defrauded Plaintiff of the sum of \$20,360.00 and caused Plaintiff damages in said amount.

AS AND FOR A THIRD CAUSE OF ACTION, PLAINTIFF ALLEGES:

17. Plaintiff repeats and realleges the allegations set forth in Paragraphs "1" through "16" as if set forth fully herein.

18. Upon information and belief, Defendants converted to their own use of the sum of \$20,360.00.

19. Defendants owe to Plaintiff, by reason thereof, the sum of \$20,360.00 together with interest from March 24, 1997.

WHEREFORE, Plaintiff demands Judgment against Defendants:

- A) On the First Cause of Action for the sum of \$20,360.00 plus interest from March 24, 1997;
  - B) On the Second Cause of Action for the sum of \$20,360.00, plus interest from March 24, 1997; and
  - C) On the Third Cause of Action for the sum of \$20,360.00 plus interest from March 24, 1997,
- together with attorneys' fees, the costs and disbursements of this action and such other and further relief as to the Court seems just and proper.

DATED: May 6, 1997

Yours, etc.,

LACY, KATZEN, RYEN & MITTLEMAN, LLP  
[Redacted] Esq.

Attorneys for Plaintiff  
130 East Main Street  
Rochester, New York 14604-1686  
Telephone: (716) 454-5650

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VERIFICATION

COMMONWEALTH OF MASSACHUSETTS)  
COUNTY OF MIDDLESEX ) SS.:

I, [redacted] being duly sworn, deposes and say:

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[redacted] of ARIYA INTERNATIONAL, INC.,  
the Plaintiff in the within action; that the deponent has read the  
foregoing Complaint and knows the contents thereof; and the same is  
true to my own knowledge, except as to the matters therein stated  
to be alleged upon information and belief, and as to those matters  
I believe to be true. This Verification is made by me because the  
above party is a Corporation. The grounds of my belief as to all  
matters not stated upon my own knowledge are as follows:

Plaintiff's books and records.

[redacted]

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Sworn to before me this  
6th day of May, 1997.

  
Notary Public

PHILIP S. LEVOFF, Notary Public  
My Commission Expires Sept. 21, 2001

**RENAISSANCE TECHNOLOGIES**

PH (716) 271-5348 / 1 (888) 294-7847  
FAX (716) 271-3548 / 1 (800) 758-3548

March 10, 1997

**LETTER OF INTENT**

Renaissance Technologies represent a telecommunications company in the United States that will do the following:

- 1) Agree to direct 50K to 100K minutes of Japan to United States telecom traffic over ITS Private Line.
- 2) Agree to a term of between 1 - 3 years depending on rates.
- 3) Agree to provide reasonable deposit based on anticipated usage and rates.

My client requests the following:

- 1) A definite time line of service implementation within 90 days, preferably closer to 70 days.
- 2) A guaranteed flat rate that will reflect term discounts, etc.
- 3) A decision within 10 - 15 days if the aforementioned agreement is viable to ITS.

Renaissance Technologies confirms that our client is, financially and logistically, able to perform all parts of the agreement, and very anxious to move forward with the development of said agreement.

Awaiting your favorable reply, we remain,

Renaissance Technologies

LAW OFFICE [REDACTED]

738 P05 MAY. 02 '97 12:37

03/21/97 11:28  
716-21-199/ 11:37

716 271 3548  
655

RENAISSANCE TECH

716-4730205 P.01 0001

RENAISSANCE TECHNOLOGIES

To [REDACTED]  
From [REDACTED]

PI [REDACTED]  
FAX (716) 271-3548 / 1 (800) 758-3548

INVOICE

Date: 3/21/97

Customer:

Ariya Int'l.  
100 Park Avenue  
Newton, Ma. 02158

Phone: [REDACTED]  
Fax: (617) 527-2269

No.	Item	Cost/Unit	Total Cost
1000	112 Unit Prepaid Cards	0.130	\$14,560.00
800	182 Unit Prepaid Cards	0.130	\$18,928.00
800	14 Unit Prepaid Cards	0.130	\$ 1,456.00
200	16 Unit Prepaid Cards	0.130	\$ 416.00
	Total Cost		\$35,360.00

INVOICE PAYABLE UPON RECEIPT

THANK YOU

02/15/97 10:45 716 271 3548

RENAISSANCE TECH

0004

# RENAISSANCE TECHNOLOGIES

[redacted]  
PH (716) 271-5348 / 1 (888) 294-7847  
FAX (716) 271-3548 / 1 (800) 758-3548

(14)

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## WIRING INSTRUCTIONS

✓ chase manhattan  
contacted

[redacted] nyc

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Contact Bank:

Chase Manhattan NYC

ABA or Routing #:

021.000.021.

Secondary Bank:

The Summit FCU

✓ contacted

Account #:

[redacted]

800-321-8726

Final Credit:

Renaissance Technologies

in a secondary

Account #:

[redacted]

[redacted]

[redacted]

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### Explanation of Terms:

Contact Bank:

This bank is "on line" with the Federal Reserve. They are eligible to receive funds through the Federal Wires. All banks are not. It would be impossible to wire money to a credit union when it isn't on line. In this case, funds must be wired to the credit union's "contact bank" who would in turn send the money to the "secondary bank" where Renaissance Technologies maintains an account.

his  
contact  
here  
700 4

Secondary Bank:

This is the bank that receives the funds to distribute to the recipient.

Bank Address: 100 Marina Drive  
Roadside, NJ 07068

Instruct bank to call have all up  
Receipt of Funds



USTRUST WIRE TRANSFER DEPARTMENT - WIRE TRANSFER REQUEST FORM (FORM B)  
PLEASE PRINT CLEARLY OR TYPE

Date Time Called by Phone # Received by FAX log #

3/24/97 1:15

421

(3)

Repetitive Number: Wire Amount: \$ 35,360.00

Wire Fee: Direct Charge ☒ Analysis Profit Ctr #

Debit Account Number: Debit Bank #: 1 3 6

Collected Available Balance: \$ 44,958.72

NOTE: IF THE FUNDS ARE UNCOLLECTED, THE ENTRY MUST BE FORCED. PLEASE  
ALSO SUBMIT A SEPARATE WIRE AUTHORIZATION FORM (FORM A).Customer Name (Required): ARIYA INTERNATIONALAddress (Required): 100 PARK AVENEWTON, MA 02158

\*\*\*\*\*

WIRE TO:

Bank Name: CHASE MANHATTAN NYC ABA #: 021000021FOR BENEFIT OF THE SUMMIT FCU

Beneficiary Account Number:

FOR BENEFIT OFFor Credit to (beneficiary name): REMISSANCE TECHNOLOGIES

\*\*\*\*\*

A. I have read the other side of this form and understand my  
responsibilities and liabilities in making this wire transfer

Customer signature

Phone #

B. Approved by (Required):

NOTE: IF THE CUSTOMER HAS NOT SIGNED ABOVE, WIRE IS NOT COVERED BY  
USTRUST BLANKET BOND INSURANCE.

\*\*\*\*\*

FOR WIRE DEPARTMENT USE ONLY:

ABA Number: Short Name:

IntraNet Seq. Number: Fed Ref. Number:

Entered by/Date: Verified by/Date:

LAW OFFICES of

Telephone:

Facsimile: (617) 969-2104

Of Counsel:

FACSIMILE TRANSMITTAL INFORMATION

Date:

4/30/97

To: Fax No.:

1-800-758-3548; 716-374-6903

Name of Recipient:

Firm or Office:

Renaissance Technologies

From:

Description of Document(s):

Re: Ariya Int'l

~~CONFIDENTIAL~~**URGENT**THIS TRANSMISSION CONSISTS OF 1 PAGES, ~~INCLUDING~~ THIS COVER SHEET.Original to follow by:      Mail      Overnight Delivery      Courier      N/AIf you do not receive all pages, or have any problem with this transmission, please call      at       
Our fax number is (617) 969-2104.

Message to Recipient: I have telephoned you twice since you left a message at 11:45 this morning. Your failure to resolve this matter has created a financial crisis for my client. Your failure to return his money, which it appears you received under false pretenses, and may no longer have (your bank indicates that you do not have the necessary funds available) may have grave implications. I must hear from you today.

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## FAX COVER SHEET

RENAISSANCE TECHNOLOGIES

USA:

PHONE: 716-271-5348 / 1-888-294-7847

FAX: 716-271-3548 / 1-800-758-3548

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SEND TO AN/ POUR

Company name/ Firmenname/ Société

LAW OFFICES

Person de

Date/ Datum/ Date

4/30/97

Phone number/ Telefon/ N° de tel.

888-294-7847

Urgent/  
Dringent/  
UrgentReply ASAP/  
Rückantwort/  
Réponse urgente  
attenduePlease comment/  
Erläuterung/  
Commentaires  
attendusPlease review/  
Überprüfung/  
A vérifierFor your information/  
Kenntnisnahme/  
Copie pour information

Total pages, including cover sheet:

Anzahl der übermittelten Seiten inkl. Deckblatt

Nombre de pages (Page de garde incluse)

COMMENTS/ ANMERKUNGEN/ COMMENTAIRES

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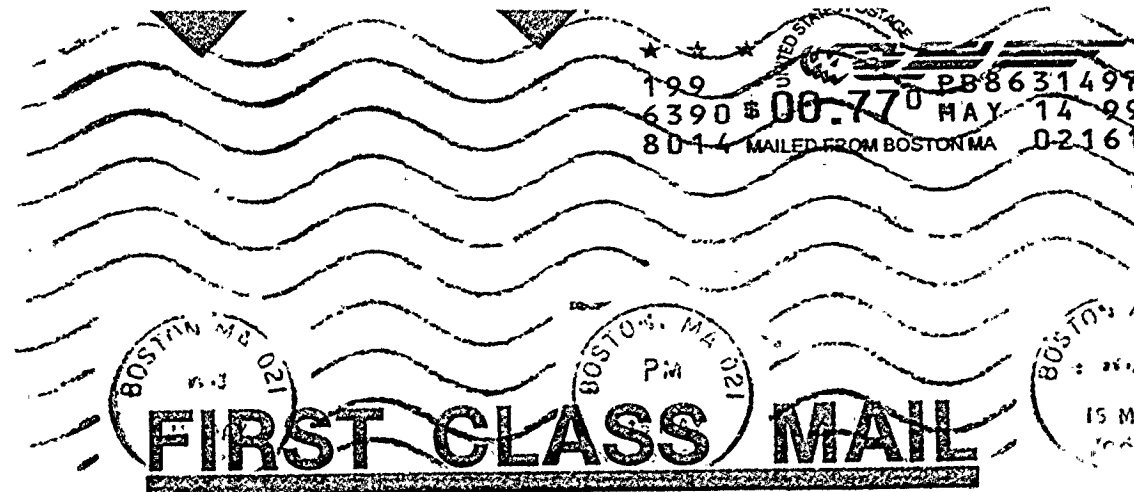
Since the IRS/ARIYA has now come down to threats to myself & my girlfriend as late as midair yesterday. And it appears this relationship will not be going further. I plan to meet w/ my attorney today 4/30/97 to discuss my options of compensation. I've worked very hard at finding a provider for ARIYA's. Have of phone calls, negotiations, broadcast taxes etc. I located GTN for ARIYA. It's as the agent & ARIYA proceed to remove my company out of the loop & complete negotiation. GTN w/o myself which may or may not be illegal but is certainly unethical. My attorney is in Buffalo, NY which is about 1/2 hour from where I live. I'm traveling there today & I will either have him contact you or I will myself whichever he advises. TODAY my banker Jackson Bank has wired transfer deposit on her desk. She's waiting for an amount for my ~~self~~ thank you.

P.S. My Fax # & compensation is

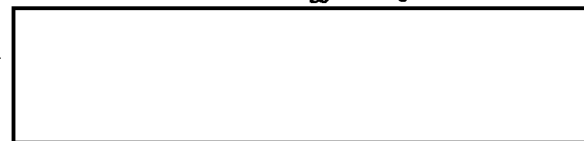
1-800-758-3548

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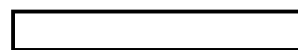
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*Law Offices of*



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Federal Bureau of Investigation  
 100 State Street, Room 300  
 Rochester, NY 14614

[illegible]

FEDERAL BUREAU OF INVESTIGATION  
FOI/PA  
DELETED PAGE INFORMATION SHEET  
FOI/PA# 1353194-0

Total Deleted Page(s) = 19

Page 8 ~ Duplicate;  
Page 19 ~ b6; b7C;  
Page 20 ~ b6; b7C;  
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Page 36 ~ b6; b7C;

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X No Duplication Fee X  
X For this Page X  
XXXXXXXXXXXXXXXXXXXXXXXXXXXXX

FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 06/04/2002

To: Buffalo

From: Buffalo

Squad 9 / Rochester RA

Contact: SA [REDACTED]

Approved By: [REDACTED]

Drafted By: [REDACTED] : peh

Case ID #: 196A-BF-33164 (Pending) 9

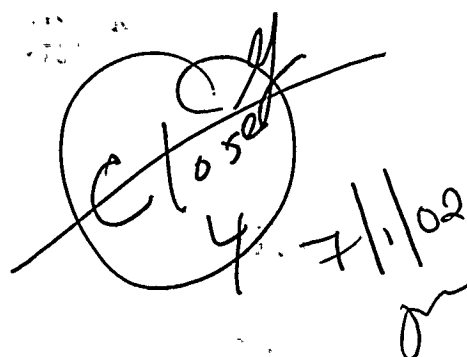
Title: [REDACTED]

RENAISSANCE TECHNOLOGIES,  
6007 ROUTE 1, NAPLES, NY  
TELEPHONE 716-396-7354 AND  
888-294-7847  
ARIYA INTERNATIONAL, 100 PARK AVE.,  
NEWTON MASS - VICTIM  
FBW

Synopsis: To place captioned investigation in a closed status.

Details: All attempts to determine the details of the business transaction that occurred between the subject and the victim and the refund that the victim got from the third party in the transaction, have met with negative results. Victim was unable to provide sufficient supporting documentation to successfully prosecute captioned matter, therefore it will be placed in a closed status.

♦♦

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7/1/02  
m

# Memorandum

ALL INFORMATION CONTAINED  
HEREIN IS UNCLASSIFIED  
DATE 03-02-2017 BY J48J67T35 ADG



To : SAC, BOSTON

Date 5/1/97

From : IA [redacted]

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b7C

Subject:

[redacted]  
RENAISSANCE TECHNOLOGIES,  
6006 - ROUTE 1,  
NAPLES, NY  
TELEPHONE 716-396-7354 AND 888-294-7847;  
ARIYA INTERNATIONAL, INC.,  
100 PARK AVE., NEWTON, MA - VICTIM  
FBW

On 5/1/97 at 3:30 p.m. the following call was received  
from [redacted] telephone numbers  
[redacted]

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Beginning 3/24/97, his company has wired a total of \$20,360 to subject company for services it was to provide, i.e. prepaid calling cards. They have never received any calling cards, and RENAISSANCE TECHNOLOGIES has used the money for their own purposes. [redacted] and his lawyer have tried calling and fax'ing [redacted] of subject company) and giving him an ultimatum to get back to them but he has not.

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[redacted] advised this is not just a civil matter because he knows of other companies who have lost money to subject in a similar manner and he believes it will continue to happen if this matter is not looked into.

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[redacted] advised he would like to speak with an Agent concerning above matter.

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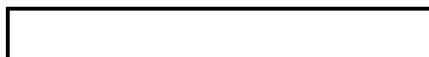
Boston, New York, Albany, and Buffalo ACS indices were searched with the following results:

③ - Boston  
(66F-54468, complaint control file)  
MET:met  
(3)

*met*



RENAISSANCE TECHNOLOGIES:



indexed 1/22/91 (FCI-R)

b3  
b7E

It is to be noted that Boston ACS indices reflect numerous "RENAISSANCE . . ." but no RENAISSANCE TECHNOLOGIES.



b6  
b7C

[1\*]

196A-BF-33164 - 2

The following investigation was conducted by Special Agent [redacted]  
[redacted] at Rochester, New York on October 8, 1997:

b6  
b7C

[redacted] Ontario County Sheriff's Office, Canandaigua,  
New York, telephone number [redacted] telephonically advised the investigating agent that  
his office has no record on [redacted] Renaissance Technologies, including  
complaints. [redacted] further advised that 6006 RD1, Naples, New York, is a large home  
converted to apartments which tend to attract renters of a transitional nature.

b6  
b7C

ELF:sms

jm  
10/29/97

jm

10/29/97

V3290702.ins

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 01/09/1998

To: Buffalo

From: Buffalo

Squad 10/Rochester Resident Agency

Contact: SA [REDACTED]

b6  
b7C

Approved By: [REDACTED]

Drafted By: [REDACTED]

sms

Case ID #: 196A-BF-33164 (Pending) -3

Title: [REDACTED]

ARIYA INTERNATIONAL, INC. - VICTIM;  
FBW

Synopsis: Reassignment of above captioned matter.

Administrative: Reference EC of TA [REDACTED] dated  
12/8/97.

b6  
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Details: Referenced EC approved by Acting SAC [REDACTED]  
[REDACTED] temporarily assigns writer for a six month period beginning  
1/18/98, to Buffalo Headquarters City for the purpose of  
performing TTA duties. In light of the temporary assignment, it  
is requested this matter be reassigned to SA [REDACTED]

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Writer considers next investigative step to be a lead  
to Boston Division, who initially received the complaint, to  
contact complainant for the purpose of conducting a more thorough  
interview, obtaining copies of all necessary documents, and  
obtaining the names of other known victims.

Indices negative re Renaissance Technologies except for  
above captioned matter. Indices on [REDACTED] include  
reference to 66 and 26 matters as well as above captioned matter.

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Searched \_\_\_\_\_ Serialized jm  
Indexed \_\_\_\_\_ Filed jm

V3009805.ec

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 01/29/1998

To: BUFFALO

Attn: IMA

From: Buffalo

10/Rochester RA

Contact:  x 110

Approved By:  ✓

Drafted By:

Case ID #: Various (Pending)

Title: Adding CPI Codes to ACS  
Photocopy of instant EC into Listed Cases

Synopsis: Below is a list of Squad 10 pending cases with a corresponding list of CPI codes which apply to each case. Put the CPI code(s) which apply to ACS, then put a copy to the case file. These were pending cases as of 1/21/98,

REFERENCE: FBIHQ EC DATED 1/08/98, HQ 66-A1855-B;  
BF EC DATED 1/21/98, BF66F\_A1209

Details: Using below list, mark ACS and put to file.

Case File	CPI Code(s)
29B-BF-33675	FIF
29C-BF-33624	FIF
29B-BF-33499	FIF
29K-BF-33473	FIF
29C-BF-33449	FIF
29K-BF-33412	FIF
29B-BF-33395	FIF
29K-BF-33394	FIF
29B-BF-33185	FIF
29C-BF-33178	FIF
29F-BF-33152	FIF
29C-BF-32943	FIF
29K-BF-32940	FIF
29K-BF-32938	FIF
29K-BF-32862	FIF
29C-BF-32757	FIF
29B-BF-32754	FIF
29C-BF-32687	FIF
29C-BF-32598	FIF
29B-BF-32597	FIF
29K-BF-32510	FIF

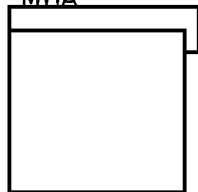
b6  
b7C

196A-BF-33164 4

To: BUFFALO Fro Buffalo  
Re: Various, 01/29/1998

29K-BF-32509	FIF
29K-BF-32448	FIF
29K-BF-32233	FIF
29K-BF-32188	FIF
29B-BF-31706	FIF
46B-BF-33448	NONE
46H-BF-33100	NONE
46H-BF-33049	NONE
46B-BF-33036	NONE
46F-BF-31944	NONE
46B-BF-31738	NONE
49A-BF-33676	NONE
49A-BF-33558	NONE
49A-BF-33556	NONE
49A-BF-33328	NONE
49A-BF-33087	NONE
49A-BF-32310	NONE
49B-BF-32221	NONE
49A-BF-31968	NONE
49A-BF-31834	NONE
49A-BF-31634	NONE
92A-BF-31742	NONE
139C-BF-32424	NONE
179B-BF-33417	NONE
182B-BF-33416	NONE
182A-BF-32860	NONE
196D-BF-33489	NONE
196D-BF-33482	NONE
196D-BF-33313	NONE
196C-BF-33240	NONE
196D-BF-33234	NONE
196A-BF-33164	NONE
196D-BF-33111	NONE
196D-BF-33053	MLA
196D-BF-33003	MLA
196D-BF-32861	MLA
196D-BF-32806	NONE
196D-BF-32538	NONE
196D-BF-32295	MLA
196D-BF-32110	MLA
196A-BF-31848	NONE
196D-BF-30498	NONE
196B-BF-29899	NONE
209B-BF-33397	NONE
209A-BF-33219	MLA
245F-BF-32906	
245F-BF-32416	
245F-BF-28745	
281H-BF-33667	
281F-BF-33601	

-4



b7E

To: BUFFALO Fro Buffalo  
Re: Various, 01/29/1998

281F-BF-33446

281E-BF-33067

281I-BF-32905

281E-BF-32099

281B-BF-30864

b7A  
b7E

♦♦

(12/31/1995)

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 09/03/1998

To: Boston

Attn:

SA [redacted]  
[redacted] Squad C-5

b6  
b7C

From: Buffalo

Rochester RA/Squad 10

Contact: SA [redacted] (716) 546-2220

b6  
b7C

Approved By:

[redacted]

Drafted By:

[redacted] peh *[signature]*

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b7C

Case ID #: ✓ 196A-BF-33164 (Pending) -5

Title:

[redacted]  
RENAISSANCE TECHNOLOGIES,  
6006 - ROUTE 1, NAPLES, NY  
TELEPHONE 716-396-7354 AND 888-294-7847  
ARIYA INTERNATIONAL, 100 PARK AVE.,  
NEWTON, MASS - VICTIM  
FBW

b6  
b7C

Synopsis: Lead being set to interview captioned victim and obtain all pertinent details and records regarding captioned fraud. *[signature]*

Details: Buffalo Division received the original complaint regarding captioned subject from Boston Division via an EC dated 5/14/98, case file 196-0. In this EC, [redacted] stated that he sent \$35,000 to subject as a broker for Telegroup Inc. but became suspicious and got \$15,000 refunded by Telegroup. He also stated that he knew of other companies that had been victimized by subject.

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b7C

*[signature]* 9/4/98

FI247801.EC

To: Boston From: Buffalo  
Re: 196A-BF-33164, 09/03/1998

LEAD (s):

Set Lead 1:

BOSTON

AT NEWTON, MA

Will interview [redacted] Ariya  
International, telephone [redacted]  
regarding his contacts with subject. Obtain all pertinent  
details about how [redacted] first became aware of subject and all  
subsequent contacts with subject. Determine how he wired money to  
subject and obtain any records reflecting this transaction.  
Obtain all other records generated during his contacts with  
subject as well as Telegroup Inc., especially regarding the  
refund he obtained from them.

Determine the names of all persons at Telegroup Inc.  
with whom he had contact and a street address for the company.

Will set appropriate leads to have these individuals  
at Telegroup Inc. interviewed regarding subject and his dealings  
with [redacted] and identify additional customers of Telegroup that  
may have been victimized by subject.

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b7C

b6  
b7C



- 1 -

## FEDERAL BUREAU OF INVESTIGATION

Date of transcription 04/12/99

[redacted] born [redacted] social security account number [redacted]

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[redacted] was interviewed at his home. After being advised of the identity of the interviewing agent and the nature of the interview, he provided the following information:

[redacted] for a Japanese company called INTERNATIONAL TELECOMMUNICATIONS SERVICES (ITS). ITS sold prepaid phone cards to stores located in Japan. [redacted] role in the relationship was to locate companies in America who would offer to sell phone cards at competitive per minute billing rates, purchase the cards from the companies, then sell and ship the cards to ITS in Japan. [redacted] per month from ITS to work in this capacity. [redacted] did business under the name ARIJA INTERNATIONAL.

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As the traditional Japanese phone service providers learned of the business that ITS was doing they began to lower their rates. In light of this, [redacted] sought to obtain cards which provided more competitive per minute billing rates.

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Sometime in the beginning of 1996, [redacted] was referred to a [redacted] of RENAISSANCE TECHNOLOGIES by a female contact at SPRINT. [redacted] did not recall the female's name. [redacted] contacted [redacted] and explained his desire to purchase calling cards for a specified per minute rate. [redacted] also explained that the voice messaging used on any cards purchased must be multilingual due to the nationality of the phone card purchasers in Japan. [redacted] was located at [redacted] [redacted] contacted [redacted] at both (716) 271-5346 and (888) 294-7847.

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[redacted] told [redacted] that he would be able to provide the phone cards to [redacted] at the requested rate with multilingual messaging. [redacted] stated that he was purchasing the phone cards from TELEGROUP and provided the name of a contact at TELEGROUP. [redacted] requested that [redacted] not contact the individual directly. [redacted] recalled that he may have signed a non-disclosure agreement stating that he would not do so. [redacted] agreed to purchase \$35,360 worth of prepaid cards from [redacted]

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b7c

Investigation on 04/10/1999 at Natick, Massachusetts

File # 196A-BF-33164 - 6 Date dictated 04/12/1999

by SA [redacted] *JS*

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196A-BF-33164

Continuation of FD-302 of [redacted], On 04/10/1999, Page 2

b6  
b7C

On March 24, 1997, [redacted] wired \$35,360 from his ARIJI INTERNATIONAL account at U.S. Trust in Newton, Massachusetts to [redacted] account for payment on the transaction.

[redacted] did not receive any cards from [redacted]. After a long delay and numerous discussions with [redacted] called TELEGROUP. [redacted] did not recall with whom he spoke at TELEGROUP. [redacted] explained to this individual the representations that were made to him by [redacted]. The individual at TELEGROUP stated that the company did contract to sell cards to [redacted] but not under the terms described by [redacted]. The individual stated that under no circumstances would TELEGROUP have ever sold phone cards to [redacted] under the terms described by [redacted].

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Due to the fact that TELEGROUP had received payment from [redacted] of \$15,000, the company was willing to refund this amount to [redacted]. This was due to the fact that [redacted] never received any prepaid cards.

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[redacted] telephoned [redacted] on numerous occasions in an attempt to get the rest of his money back. [redacted] no longer lived at the number [redacted] was calling, [redacted]. However, [redacted] did speak to a woman who represented herself as the ex-girl friend of [redacted]. This woman told [redacted] that they had broken up and [redacted] took all of her money.

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[redacted] was unable to provide copies of invoices, contracts and wire confirmations to support the transaction in question because he provided the originals to his attorney. His attorney is [redacted].

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[redacted] also sent some invoices and contracts related to the transaction to [redacted] of LACY, KATZEN, MILTLEMAN, LLP, 130 East Main Street, Rochester, New York, (716) 454-5650. [redacted] was working with [redacted] and handling the case in Rochester, due to the close geographical proximity to the defendant's residence. [redacted] recently telephoned LACY, KATZEN, MILTLEMAN and requested that the firm send the originals back to him, but has not received any paperwork to date. [redacted] believes that the individuals with whom he spoke at TELEGROUP are documented in the paperwork provided to the attorneys.

(01/26/1998) .

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 04/21/1999

To: Buffalo

Attn: [REDACTED]

b6  
b7C

From: Boston

Squad C-5

Contact: SA [REDACTED] (617) 223-6067

Approved By: [REDACTED]

b6  
b7C

Drafted By: [REDACTED] tjg

Case ID #: 196A-BF-33164 (Pending)

Title: [REDACTED]

RENAISSANCE TECHNOLOGIES,  
6006 - ROUTE 1, NAPLES, NY  
TELEPHONE 716-396-7354 AND 888-294-7847  
ARIYA INTERNATIONAL, 100 PARK AVE.,  
NEWTON, MASS- VICTIM  
FBW

Synopsis: To report results of interview of [REDACTED]

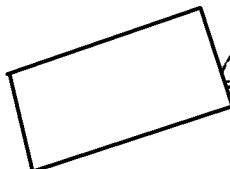
Enclosures: Original Form FD-302, Original interview notes, Copy of complaint filed with State of New York - ARIYA vs. [REDACTED]  
[REDACTED] Copy of faxed correspondence from [REDACTED] to Attorney [REDACTED]

b6  
b7C

Details: Enclosed for captioned agent [REDACTED] are the results of interview of [REDACTED]. [REDACTED] believes that wire transfer documentation, contacts at TELEGROUP and additional information regarding subject [REDACTED] is maintained by [REDACTED] of LACY, KATZEN, MILTLEMAN, LLP, 130 East Main Street, Rochester, New York, (716) 454-5650. [REDACTED] contacted the law firm approximately one month ago and requested that they send him all documentation on the case. [REDACTED] has not received any documentation to date.

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SEARCHED	_____
SERIALIZED	_____
Q 1999	
FBI - BUFFALO	

b6  
b7C

(12/31/1995)

# FEDERAL BUREAU OF INVESTIGATION

Precedence: ROUTINE

Date: 05/14/1997

To: Buffalo

From: Boston

Squad C-5

Contact: SA [redacted] ext. 6012

Approved By: [redacted]

Drafted By: [redacted]:jrt

Case ID #: 196-0

-495

Title:

RENAISSANCE TECHNOLOGIES,  
6006 - ROUTE 1,  
NAPLES, NY,  
TELEPHONE 716-396-7354 AND 888-294-7847;  
ARIYA INTERNATIONAL, INC.,  
100 PARK AVE., NEWTON, MA - VICTIM  
FBW

Synopsis: For information of Buffalo.

Enclosures: Enclosed is a memorandum regarding the victim's initial telephone call.

Details: On 05/13/97 at 11:40 a.m. this agent spoke to [redacted] of Ariva International, Inc., 100 Park Ave., Newton, MA [redacted]. In a separate conversation on the same day, this agent also spoke to [redacted] (telephone 617-454-5650).

They related that [redacted] made an agreement to purchase pre-paid telephone cards from [redacted] RENAISSANCE TECHNOLOGIES, 6006 Route 1, Naples, NY. [redacted] was to act as a broker, having a communications firm actually fill the orders. The communications firm is TELEGROUP INC. (TEL), address unknown, telephone 515-472-5000.

On 03/24/1997 [redacted] wired \$35,000 to [redacted]. [redacted] released \$15,000 of this to TEL for the cards, and also took the the remaining \$20,000 out as cash. [redacted] became unavailable at his known address. [redacted] became suspicious of [redacted] activities and received the \$15,000 back from TEL, but has not been able to obtain the remaining \$20,000 or to contact [redacted].

Information provided for any action deemed appropriate. Boston will take no further action as loss to victim is prosecutive guidelines for District of Massachusetts.

196A-BF-3314-1

SEARCHED	INDEXED
SERIALIZED	FILED
MAY 30 1997	
FBI - BUFFALO	

6/5/97  
00:BF  
New indices  
CO:SA EF